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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|--|-------------|----------------------|--------------------------------|------------------------|
| 09/998,895 | 11/30/2001 | Joan C. Teng | 21756-013000 | 4164 |
| 51206 7590 04/10/2007 TOWNSEND AND TOWNSEND AND CREW LLP TWO EMBARCADERO CENTER 8TH FLOOR SAN FRANCISCO, CA 94111-3834 | | | EXAMINER RUTLEDGE, AMELIA L | |
| | | | ART UNIT 2176 | PAPER NUMBER |
| | | | MAIL DATE 04/10/2007 | DELIVERY MODE PAPER |

Please find below and/or attached an Office communication concerning this application or proceeding.

**Advisory Action
Before the Filing of an Appeal Brief**

Application No.

09/998,895

Applicant(s)

TENG ET AL.

Examiner

Amelia Rutledge

Art Unit

2176

--The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

THE REPLY FILED 19 March 2007 FAILS TO PLACE THIS APPLICATION IN CONDITION FOR ALLOWANCE.

1. ☒ The reply was filed after a final rejection, but prior to or on the same day as filing a Notice of Appeal. To avoid abandonment of this application, applicant must timely file one of the following replies: (1) an amendment, affidavit, or other evidence, which places the application in condition for allowance; (2) a Notice of Appeal (with appeal fee) in compliance with 37 CFR 41.31; or (3) a Request for Continued Examination (RCE) in compliance with 37 CFR 1.114. The reply must be filed within one of the following time periods:

- a) ☐ The period for reply expires _____ months from the mailing date of the final rejection.
b) ☒ The period for reply expires on: (1) the mailing date of this Advisory Action, or (2) the date set forth in the final rejection, whichever is later. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of the final rejection.

Examiner Note: If box 1 is checked, check either box (a) or (b). ONLY CHECK BOX (b) WHEN THE FIRST REPLY WAS FILED WITHIN TWO MONTHS OF THE FINAL REJECTION. See MPEP 706.07(f).

Extensions of time may be obtained under 37 CFR 1.136(a). The date on which the petition under 37 CFR 1.136(a) and the appropriate extension fee have been filed is the date for purposes of determining the period of extension and the corresponding amount of the fee. The appropriate extension fee under 37 CFR 1.17(a) is calculated from: (1) the expiration date of the shortened statutory period for reply originally set in the final Office action; or (2) as set forth in (b) above, if checked. Any reply received by the Office later than three months after the mailing date of the final rejection, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

NOTICE OF APPEAL

2. ☐ The Notice of Appeal was filed on _____. A brief in compliance with 37 CFR 41.37 must be filed within two months of the date of filing the Notice of Appeal (37 CFR 41.37(a)), or any extension thereof (37 CFR 41.37(e)), to avoid dismissal of the appeal. Since a Notice of Appeal has been filed, any reply must be filed within the time period set forth in 37 CFR 41.37(a).

AMENDMENTS

3. ☐ The proposed amendment(s) filed after a final rejection, but prior to the date of filing a brief, will not be entered because
(a) ☐ They raise new issues that would require further consideration and/or search (see NOTE below);
(b) ☐ They raise the issue of new matter (see NOTE below);
(c) ☐ They are not deemed to place the application in better form for appeal by materially reducing or simplifying the issues for appeal; and/or
(d) ☐ They present additional claims without canceling a corresponding number of finally rejected claims.

NOTE: _____. (See 37 CFR 1.116 and 41.33(a)).

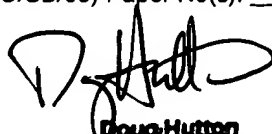
4. ☐ The amendments are not in compliance with 37 CFR 1.121. See attached Notice of Non-Compliant Amendment (PTOL-324).
5. ☐ Applicant's reply has overcome the following rejection(s): _____.
6. ☐ Newly proposed or amended claim(s) _____ would be allowable if submitted in a separate, timely filed amendment canceling the non-allowable claim(s).
7. ☒ For purposes of appeal, the proposed amendment(s): a) ☐ will not be entered, or b) ☒ will be entered and an explanation of how the new or amended claims would be rejected is provided below or appended.
The status of the claim(s) is (or will be) as follows:
Claim(s) allowed: _____.
Claim(s) objected to: _____.
Claim(s) rejected: 1-3,5,6,9-11,13-16,20,21,23-26,30,31,33-36 and 39-43.
Claim(s) withdrawn from consideration: _____.

AFFIDAVIT OR OTHER EVIDENCE

8. ☐ The affidavit or other evidence filed after a final action, but before or on the date of filing a Notice of Appeal will not be entered because applicant failed to provide a showing of good and sufficient reasons why the affidavit or other evidence is necessary and was not earlier presented. See 37 CFR 1.116(e).
9. ☐ The affidavit or other evidence filed after the date of filing a Notice of Appeal, but prior to the date of filing a brief, will not be entered because the affidavit or other evidence failed to overcome all rejections under appeal and/or appellant fails to provide a showing of good and sufficient reasons why it is necessary and was not earlier presented. See 37 CFR 41.33(d)(1).
10. ☐ The affidavit or other evidence is entered. An explanation of the status of the claims after entry is below or attached.

REQUEST FOR RECONSIDERATION/OTHER

11. ☒ The request for reconsideration has been considered but does NOT place the application in condition for allowance because:
See Continuation Sheet.
12. ☐ Note the attached Information Disclosure Statement(s). (PTO/SB/08) Paper No(s). _____.
13. ☒ Other: See Continuation Sheet.



**Doug Hutton
Primary Examiner
Technology Center 2100**

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Continuation of 11. does NOT place the application in condition for allowance because:

The amendments to independent claims 1, 14, and 24 incorporate the combined subject matter of canceled dependent claims 4 and 7, 17 and 19, and 27 and 28, respectively, and therefore remain rejected for reasons of record as set forth in the Office Action mailed on 01/18/2007.

Applicant's arguments have been fully considered but are not persuasive. While applicant argues that SiteMinder discloses policies to control user access to resources, rather than workflows (Remarks, p. 11-12), it is the examiner's opinion that the policies disclosed by SiteMinder are functionally and programmatically equivalent to the claimed workflows, because SiteMinder teaches that policies, or workflows, contain rules, specified users or groups of users, responses, i.e., the action that is triggered in the workflow, and which have bindings to link a user with a policy (p. 326-328, also see Ch. 12, Policies). Thus SiteMinder does teach receiving a user selection of a workflow to affect a target identity profile, because SiteMinder teaches that each user of the system has an associated identity profile, and that the system may be configured with a policy for user self-registration, i.e., a workflow, which contains steps for users to modify their own profiles (p. 398; p. 419-435), including deleting and modifying their own profiles.

In response to applicant's argument that there is no suggestion to combine the references (Remarks, p. 12), the examiner recognizes that obviousness can only be established by combining or modifying the teachings of the prior art to produce the claimed invention where there is some teaching, suggestion, or motivation to do so found either in the references themselves or in the knowledge generally available to one of ordinary skill in the art. See *In re Fine*, 837 F.2d 1071, 5 USPQ2d 1596 (Fed. Cir. 1988) and *In re Jones*, 958 F.2d 347, 21 USPQ2d 1941 (Fed. Cir. 1992). In this case, both Du and SiteMinder are analogous art, since both are directed toward policy management. It would have been obvious to one of ordinary skill in the art at the time of the invention to apply SiteMinder to Du, so that Du would have the benefit of a policy server which would integrate applications and improve workflow by integrating directories and external databases in its policies so that legacy applications and systems could still be used (SiteMinder, p. 22-23, last paragraph).

Finally, the combination of Du and SiteMinder does teach each and every limitation of the invention as claimed. Du teaches that a policy is a set of rules that determines how resources, i.e., users, are related to tasks (Col. 8, l. 52-63). Although Du teaches applying policies to users, Du does not explicitly teach associating workflows with groups in an identity system. However, SiteMinder teaches a policy server, i.e., identity system, for associating workflows, i.e., rules for user interaction with system resources, with policy domains (p. 235-237) by using SiteMinder responses and response groups (Chapter 11, p. 302-304) and creating policies, i.e., workflows, to specify actions that should take place when users access specific resources, which are tasks and/or software within a domain (Chapter 12, Policies, p. 325-328), compare to associating workflows with one or more groups in an identity system, each group including one or more users of the identity system.

Continuation of 13. Other:

In response to applicants' traversal of the finality of the previous Office action, the same art and grounds were used in the rejections as in the previous rejection, because the rationale for rejection remained the same as in the previous Office Action, and the added claims were broader in scope than the previously claimed invention which necessitated the rejections under 102(b).

See MPEP 2141.01, I:

A 35 U.S.C. 103 rejection is based on 35 U.S.C. 102(a), 102(b), 102(e), etc. depending on the type of prior art reference used and its publication or issue date. For instance, an obviousness rejection over a U.S. patent which was issued more than 1 year before the filing date of the application is said to be a statutory bar just as if it anticipated the claims under 35 U.S.C. 102(b).